

101078,718

JFW 1617
PTO/SB/21 (08-03)

| | | | |
|--|----|------------------------|----------------|
| TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i> | | Patent Number | 7,037,901 |
| | | Issue Date | May 2, 2006 |
| | | First Named Inventor | Allan Y. Chen |
| | | Art Unit | N/A |
| | | Examiner Name | N/A |
| Total Number of Pages in This Submission | 11 | Attorney Docket Number | 061818-5502-US |

| ENCLOSURES (Check all that apply) | | | |
|---|--|--|--|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request (See Remarks) <input type="checkbox"/> Response to Restriction Requirement <input type="checkbox"/> Information Disclosure Statement with Form PTO-1449, with 2. References <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Response to Restriction Requirement <input checked="" type="checkbox"/> Revocation and Power of Attorney <input checked="" type="checkbox"/> Transmittal of Power of Attorney by Assignee <input checked="" type="checkbox"/> Statement Under 37 C.F.R. § 3.73(b) <input type="checkbox"/> CD, Number of CD(s) | |
| | | Remarks | The Commissioner is authorized to charge any additional fees to Deposit Account 50-0310. |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | | |
|--|--|--|--|
| Firm or Individual | Morgan, Lewis & Bockius LLP Ada O. Wong | | |
| Signature | | | |
| Date | November 20, 2006 | | |

CERTIFICATE OF TRANSMISSION/MAILING

| | | | |
|---|----------------|------|-------------------|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. | | | |
| Typed or printed name | Judi Stillwell | | |
| Signature | | Date | November 20, 2006 |



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:

CHEN, Allan
Patent No.: 7,037,901

Issued: May 2, 2006

For: RADIOSENSITIZATION BY Attorney Docket No.: 61818-5502-US
INDOLOCARBAZOLE DERIVATIVES

**TRANSMITTAL OF POWER OF ATTORNEY BY ASSIGNEE
REVOKING PREVIOUS POWERS OF RECORD**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

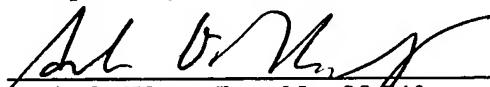
Applicant's attorney encloses herewith a Revocation and Power of Attorney by Assignee with Certification Under 3.73(b) for the above identified application.

Please change the attorney docket number to 61818-5502-US. Future correspondence should be forwarded to customer no. 43850.

The Commissioner is authorized to charge any fees associated with this communication to Morgan, Lewis & Bockius LLP deposit account no. 50-0310 (order no. 61818-5502-US). A copy of this sheet is enclosed for such purpose.

Respectfully submitted,

Date: November 20, 2006


Ada O. Wong, Reg. No. 55740
MORGAN, LEWIS & BOCKIUS LLP
2 Palo Alto Square
3000 El Camino Real, Suite 700
Palo Alto, California 94306
(650) 843-4000



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:

CHEN, Allan
Patent No.: 7,037,901

Issued: May 2, 2006

For: RADIOSENSITIZATION BY
INDOLOCARBAZOLE DERIVATIVES Attorney Docket No.: 61818-5502-US

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The Regents of the University of California, a university, states that it is:

the assignee of the entire right, title, and interest; or
 an assignee of less than the entire right, title and interest.

The extent (by, percentage) of its ownership interest is %

in the patent application/patent identified above by virtue of an assignment from the inventor(s) of the patent application/patent identified above.

The assignment was recorded in the United States Patent and Trademark Office on April 8, 2002 at Reel 012772, Frame 0614, or for which a copy thereof is attached.

OR

A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: To:

The document was recorded in the United States Patent and Trademark Office on at Reel , Frame , or for which a copy thereof is attached.

2. From: To:

The document was recorded in the United States Patent and Trademark Office on at Reel , Frame , or for which a copy thereof is attached.

The undersigned whose signature and title is supplied below is authorized to act on behalf of the assignee.

| | | | |
|-----------|----------------------------|-----------|-------------------|
| Name | Ada O. Wong | Date | November 20, 2006 |
| Signature | | | |
| Title | Attorney – Reg. No. 55,740 | Telephone | (415) 442-1490 |



UNITED STATES
PATENT AND
TRADEMARK OFFICE

JUNE 06, 2002

PTAS

RECEIVED

Commissioner for Trademarks
Arlington, VA 22202-3513
www.uspto.gov

NAN WU
139 TOWNSEND STREET
SUITE 400
SAN FRANCISCO, CA 94107

JUN 13 2002

GRAY CARY
WARE & FREIDENRICH



102052736A



UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/08/2002

REEL/FRAME: 012772/0614

NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNEE'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNEE:

CHEN, ALLAN Y.

DOC DATE: 03/20/2002

ASSIGNEE:

REGENTS OF THE UNIVERSITY OF
CALIFORNIA, THE
1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CALIFORNIA 94607

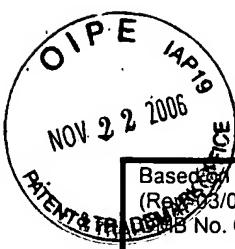
SERIAL NUMBER: 10075718

FILING DATE: 02/12/2002

PATENT NUMBER:

ISSUE DATE:

JEEVON JONES, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



04-12-2002



Based on Form PTO-1596 (Rev. 3/01)
GSA FPMR (41 CFR) Part 101-11, Subpart C, Appendix B
File No. 0651-0027 (exp. 5/31/2002)

R

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

102052736

D
5

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Allan Y. Chen

4-8-02

Additional name(s) of conveying party(ies) attached? Yes No

3. Nature of conveyance:

Assignment Merger
 Security Agreement Change of Name
 Other _____

Execution Date: March 20, 2002

2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address: _____

Street Address: 1111 Franklin Street, 12th Floor

City: Oakland State CA Zip: 94607

Additional name(s) & address(es) attached? Yes No

4. Application number(s) or patent number(s)

If this document is being filed together with a new application the execution date of the application is: _____

A. Patent Application No.(s)

10/075,718

B. Patent No.(s)

Additional numbers attached?

Yes No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Nan Wu

Internal Address: _____

Street address: 139 Townsend Street, Suite 400

City: San Francisco State: CA Zip: 94107

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40.00

Enclosed

Authorized to be charged to deposit account

8. Deposit account number: 07-1896

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Nan Wu

Name of Person Signing

43,360

Reg. No.

Signature

March 27, 2002

Date

Total number of pages including cover sheet, attachments, and documents: 5

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

04/11/2002 LNUELLER 00000160 10075710

40.00 OP

In the Application of
A. Chen
Filed: February 12, 2002
Page 1 of 4

PATENT
Attorney Docket No.: UCD-1120 (693243-76)
Client Docket No. 2002-276-1

ASSIGNMENT
(BY INVENTOR(S))

This assignment ("Assignment") is made by Allan Y. Chen, of Sacramento, California (the "Assignor"), to The Regents of the University of California ("Assignee"), having a place of business at 1111 Franklin Street, 12th Floor, Oakland, California 94607-5200.

Recitals

A. Assignor has invented a new and useful invention entitled **RADIOSENSITIZATION BY INDOLOCARBAZOLE DERIVATIVES**, for which a Application No. 10/075,718 for United States Letters Patent was filed on February 12, 2002 in the United States Patent and Trademark Office.

B. Assignor believes the Assignor to be the original, and sole inventor of the invention disclosed and/or claimed in the application for Letters Patent.

C. The parties desire to have a recordable instrument assigning from the Assignor to the Assignee the entire rights, title and interest in and to the invention, the application and all Letters Patent in the United States and throughout the world that may be granted or issued for the invention or that derive a right of priority from the application (including, without limitation, all divisional, continuation, continuation-in-part and continued prosecution applications thereof, and all reissues and reexaminations thereof, and all foreign counterparts thereof) (collectively, the "Invention Patents").

In the Application of
A. Chen
Filed: February 12, 2002
Page 2 of 4

PATENT
Attorney Docket No.: UCD-1120 (693243-76)
Client Docket No. 2002-276-1

Agreement

NOW, THEREFORE, in accordance with the obligations to assign the Invention Patents and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor agrees to the foregoing and as follows:

1. Assignor does and will sell, assign and transfer to Assignee, such Assignor's entire rights, title, and interest in and to each of the Invention Patents, including, without limitation, the rights to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

2. Assignor agrees that, upon request and without further compensation, but at no expense to such Assignor, such Assignor and such Assignor's legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing each of the Invention Patents in the United States and throughout the world, and for perfecting, recording, or maintaining the title of Assignee, and Assignee's successors and assigns, in and to each of the Invention Patents in the United States and throughout the world. In the event that Assignee is unable for any reason to secure any Assignor's signature to any document that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing each of the Invention Patents in the United States and throughout the world, or for perfecting, recording, or maintaining the title of Assignee, and Assignee's successors and assigns, in and to each of the Invention Patents in the United States and throughout the world, each such Assignor hereby irrevocably designates and appoints Assignee and Assignee's duly authorized officers and agents as such Assignor's agents and attorneys-in-fact to act for and on such Assignor's behalf and instead of such Assignor to execute such document, all with the same legal force and effect as if executed by such Assignor.

In the Application of
A. Chen
Filed: February 12, 2002
Page 3 of 4

PATENT
Attorney Docket No.: UCD-1120 (693243-76)
Client Docket No. 2002-276-1

3. Assignor represents and warrants that Assignor has not granted and will not grant to others either (1) any rights, title or interest in and to any of the Invention Patents, or (2) any rights inconsistent with the rights granted herein.

4. Assignor authorizes and requests the Commissioner for Patents of the United States and the various counterparts thereof throughout the world to issue and/or grant any Letters Patent granted for each of the Invention Patents to Assignee, its successors and assigns, as the assignee of the entire interest in such Invention Patents.

5. This Assignment constitutes the entire agreement with respect to its subject matter and supersedes all prior or contemporaneous oral or written agreements concerning such subject matter. No waiver, amendment, or modification of this Agreement shall be effective against the Assignee, unless in writing executed by a duly authorized representative of the Assignee. This Agreement shall be governed in all respects by the laws of the United States of America and by the laws of the state/province of California, as such laws are applied to agreements entered into and to be performed entirely within California between California residents. Each of the parties irrevocably consents to the exclusive personal jurisdiction of the federal and state courts located in California, as applicable, for any matter arising out of or relating to this Assignment, except that in any action seeking to enforce any order or any judgment of such federal or state courts located in California, such personal jurisdiction shall be nonexclusive. A breach of any of the promises or agreements contained herein will result in irreparable and continuing damage to Assignee for which there will be no adequate remedy at

In the Application of

A. Chen

Filed: February 12, 2002

Page 4 of 4

PATENT

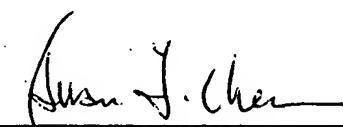
Attorney Docket No.: UCD-1120 (693243-76)

Client Docket No. 2002-276-1

law, and Assignee shall be entitled to injunctive relief and/or a decree of specific performance,
and such other relief as may be proper.

Date:

3/20/02



Allan Y. Chen

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Application See Attached Schedule A
of:
Serial No.: See Attached Schedule A

Filed: See Attached Schedule A

For: See Attached Schedule A Attorney Docket No: See Attached Schedule A

REVOCATION AND POWER OF ATTORNEY

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SIR:

The Regents of the University of California, owner of the entire right, title and interest in, to and under the inventions listed in the attached Schedule hereby revokes all previous powers of attorney and appoints Morgan, Lewis & Bockius LLP, Customer No. 43850, and each of them, its attorneys, to prosecute these matters, and to transact all business in the Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of 37 C.F.R. 3.71, provided that, if any one of these attorneys ceases being affiliated with the law firm of Morgan, Lewis & Bockius LLP as partner, counsel, or employee, then the appointment of that attorney and all powers derived therefrom shall terminate on the date such attorney ceases being so affiliated.

Please direct all future correspondence to the address associated with Customer No. 43850, Morgan, Lewis & Bockius LLP and direct all telephone calls to Morgan, Lewis & Bockius LLP at (650) 843-4000.

| | | | |
|-------|------------------------|-----------------|---|
| Date: | <u>August 28, 2006</u> | Assignee: | The Regents of the University of California |
| | | Signature: | <u>Linda S Stevenson</u> |
| | | Typed Name: | Linda Stevenson |
| | | Position/Title: | Prosecution Manager, |
| | | Address: | Technology Transfer Office 1111 Franklin Street Fifth Floor Oakland, CA 94607-5200 |

The Regents of the University of California, UCD

Schedule A

| MLB File No. UC R # in brackets | App. No. / Patent No. | Inventor(s) | Title | Date Filed Date Issued |
|---------------------------------------|--|--|---|---------------------------|
| 061818-5501 US (2002-195-2) | U.S. 10/309,946 (utility) | Edie Zusman | Photodynamic Therapy for the Treatment of Epilepsy | 12/03/02 |
| 061818-5502 US (2002-276-1) | U.S. 10/075,718 (utility) 7,037,901 | Allan Chen | Use of Indolocarbazole Derivatives for the Induction of DNA Topoisomerase I Mediated Radiosensitization | 02/12/02 05/02/06 |
| 061818-5503 US (2002-233-3) | U.S. 10/370,191 (utility) | Kermit Carraway, et al. | A Novel Protein for Inhibiting Tumor Progression and Increasing Nerve Regeneration | 02/20/03 |
| 061818-5505 PR1 (2003-504-2) | 60/542,347 | Jodi Nunnari et al. | Novel Molecules for Regulating Cell Death | 2/4/04 |
| 061818-5505 WO (2003-504-3) | PCT/US04/18547 | Jodi Nunnari et al. | Novel Molecules for Regulating Cell Death | 6/9/04 |
| 061818-5505 US (2003-504-3) | 10/865,542 | Jodi Nunnari et al. | Novel Molecules for Regulating Cell Death | 6/9/04 |
| 061818-5506 WO (2003-528-2) | PCT/US04/022972 | M. Eric Gershwin Patrick C. Leung | Discovery of the Microorganism that Causes the Human Autoimmune Disease, Primary Biliary Cirrhosis | 7/15/04 |
| 061818-5506 US (2003-528-2) | 10/893,608 | M. Eric Gershwin Patrick C. Leung | Discovery of the Microorganism that Causes the Human Autoimmune Disease, Primary Biliary Cirrhosis | 7/15/04 |
| 061818-5507 PR (2004-316) | 60/557904 | Robert J. Brosnan & Bruno H. Pypendop | Desflurane Vapor Pressure Depression | 3/30/04 |